



Form PTO-1449

Docket Number

Application Number

23449-009

09/524.253

Applicant(s)	
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Joseph G. GATTO

<b>Filing Date</b>	01/11/2019
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Group Art Unit
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March 13, 2000

3624

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

Pages, Etc.)  
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GROUP 3600

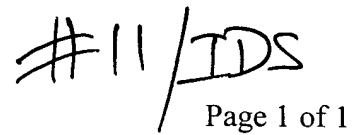
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DATE CONSIDERED \_\_\_\_\_

AMINER  
N Subrama

10/28/03

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



N.1	A	<a href="https://www.invesars.com/home.asp">https://www.invesars.com/home.asp</a> (printed 3/26/01)
	B	I/B/E/S Internation Inc., Active Express
	C	The Journal of Finance, Vol. XXXIII, March 1978, No. 1
	D	The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings, April 1978
	E	Financial Analysts Journal/Jan. - Feb. 1996 "Analyst Forecasting Errors and their Implications for Security Analysis: An Alternative Perspective"
	F	The Journal of Portfolio Management "Analysts can Forecast Accuragely" Brown et al.
	G	Journal of Forecasting, Vol. 2 325-330 1983) "Perspective on Forecasting Research in Accounting and Finance"
	H	Journal of Accounting Research , Vol. 24 Supplement 1986 "Evidence on the Incremental Information Content of Additional Firm Dsisclosures made Concurrently with Earnings" Hoskin et al.'
	I	Financial Analysts Journal, Mar./Apr. 1997 "Earnings Suerprise Research: Synthesis and Perspectives" Brown
	J	The Journal of Finance, Vol. LIV, No. 5 Oct. 1999, "What os the Intrinsic value of the Dow", Lee et al.
N.2	K	The Journal of Finance, Vol. XLIX, No. 3 July 1993 "Market Integration and Prive Execution for NYSE-Listed Securities

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	M	The Journal of Finance, Vol. XLVIII, No. 2 June 1993 "Yes, Discounts on Closed-End Funds are a Sentiment Index"
	N	The Review of Financial Studies 1993, Vol. 6, No. 2 pp. 345-374 "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis"
	O	International Journal of Forecasting, Vol. 11, No. 3 (1995) pp.361-500
	P	Financial Analysts Journal, Jan/Feb 1996
	Q	Accounting Organizations and Society, Vol. 21, No 7/8/October/November 1996
	R	Financial Analysts Journal March/April 1997
	S	Journal of Accounting & Economics Vol. 9 1987 (MSG.V. 9 No. 3)
	T	Journal of Accounting & Economics Vol. 9, No. 2 July 1987
	U	The Accounting Review Vol. 67, No. 4 October 1992
	V	Financial Analysts Journal Nov/Dec 1997
	W	The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997
	X	The Journal of Canadian Academic Accounting Association, Vol. 16, No. 1, Spring 1999
	Y	Journal of Accounting Research Vol. 23, No. 1 Spring 1985
	Z	International Journal of Forecasting, Vol. 9, No. 3 (1993) pp. 295-436
	A1	"A Journal of Accounting, Finance and Business Studies" Vol. 30, No. 1 March 1994
	B1	Journal of Accounting Auditing & Finance Vol. 9, No. 4 (new series) Fall 1994
	C1	The Journal of the Canadian Academic Accounting Association Vol. 11, No. 1-1 Summer 1994
	D1	The CPA Journal May 1995
	E1	International Journal of Forecasting, Vol. 12, No. 1 (1996) pp.1-192
	F1	Journal of Accounting Research Vol. 25, No. 1 Spring 1987
	G1	International Journal of Forecasting Vol. 7, No. 3 (1991) pp. 257-408
	H1	Journal of Accounting Research Vol. 29, No. 2 1991
	I1	The Accounting Review Quarterly Journal of the American Accounting Association Vol. LX April 1985 No. 2
	J1	The Journal of Portfolio Management Vol. 23, No. 4 Summer 1997
	K1	Journal of Accounting Research Vol. 38, No 1 Spring 2000
	L1	The Accounting Review, Vol. 68, No. 3, July 1993
	M1	Journal of Accounting Research Vol. 17, No. 2 Autumn 1979
	N1	Journal of Business Finance & Accounting, Vol. 19, No. 4 June 1992
	O1	Journal of Accounting Research Vol. 23, No. 1 Spring 1985
	P1	The Journal of the Canadian Academic Accounting Association, Vol. 14, No. 2 Summer 1997
	Q1	The Journal of Finance, Vol. 46, No. 1 March 1991
	R1	Accounting Horizons, Vol. 11, No. 4 December 1997
	S1	Accounting Horizons, Vol. 13, No. 4 December 1999
	T1	Journal of Accounting and Economics Vol. 25, No. 3 June 1998
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	V1	CA Magazine April 1996
	W1	The Journal of Finance Vol. 46, No. 2 June 1991
	X1	The Journal of Finance, Vol. 55, No. 5 October 2000
	Y1	Financial Analysts Journal, Vol. 55, No. 5 Sept/Oct. 1999
N-1	Z1	Journal of Accounting & Economics, Vol. 15, No. 2/3 June/Sept. 1992

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N-1	A2	Accounting Horizons, Vol. 10, No. 3 September 1996
↑	B2	Accounting Horizons Vol. 10, No. 4, December 1996
	C2	Accounting Horizons, Vol. 10, No. 3 September 1996
	D2	"Profiling From Predicting Earnings Surprise", Brown et al. 1998
	E2	"Enhancing Earnings Predictability Using Individual Analyst Forecasts", Herzberg et al. Summer 1999
	F2	"Do Stock Prices Fully reflect the Implications of Current Earnings for Future Earnings for AR1 Firms" Brown et al. 2000
	G2	"The Information Content of Analyst Stock Recommendations" Kirsche et al. 8/8/00
	H2	<a href="http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml">http://www.findarticles.com/m4PRN/1999_Oct_14/56284107/p1/article.jhtml</a> (printed 2/5/01)
	I2	<a href="http://my.zacks.com/?ALERT+www.zacks.com">http://my.zacks.com/?ALERT+www.zacks.com</a> (printed 2/2/01)
	J2	<a href="http://www.cianet.com">http://www.cianet.com</a> (printed 2/5/01)
	K2	<a href="http://www.factset.com">http://www.factset.com</a> (printed 2/5/01)
	L2	<a href="http://www.iexchange.com">http://www.iexchange.com</a> (printed 2/5/01)
	M2	<a href="http://www.validea.com/home/home.asp">http://www.validea.com/home/home.asp</a> (printed 2/5/01)
	N2	<a href="http://www.bulldogresearch.com/default.asp">http://www.bulldogresearch.com/default.asp</a> (printed 2/5/01)
↓	O2	"Predicting Individual Analyst Earnings Forecast Accuracy", Brown et al. 9/29/99
N-1	P2	The Journal of Finance Vol. XLIX, No. 1 March 1994
EXAMINER	N. Subramaniam	
	DATE CONSIDERED	8/18/03

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

## LIST OF MATERIALS CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.:  
56351.000009

SERIAL NO.:

09/524,253

INVENTOR'S NAME:  
Joseph G. GATTOEXAMINER:  
Not Yet AssignedFILING DATE:  
March 13, 2000GROUP:  
Not Yet Assigned

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER								DATE	NAME	CLASS	SUB-CLASS	FILING DATE
N.A.	A	5	6	0	8	6	2	0		3/4/97	Lundgren			
	B	5	9	4	6	6	6	6		8/31/99	Nevo et al.			
	C	5	8	5	2	8	1	1		12/22/98	Atkins			
	D	5	9	1	1	1	3	6		6/8/99	Atkins			
	E	5	6	1	3	0	7	2		3/18/97	Hammond et al.			
	F	5	8	9	3	0	7	9		4/6/99	Cwenar			
	G	5	8	1	2	9	8	8		9/22/98	Sandretto			
	H	5	7	7	4	8	8	1		6/30/98	Friend et al.			
	I	5	7	7	4	8	8	0		6/30/98	Ginsberg			
	J	5	9	0	9	6	6	9		6/1/99	Havens			
	K	5	5	0	0	7	9	5		3/19/96	Powers et al.			
	L	5	9	6	3	9	2	2		10/5/99	Helmering			
	M	5	3	6	5	4	2	5		11/15/94	Torma et al.			
N.A.	N	3	2	7	0	1	9	0		8/30/66	Lambert			

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER								DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
														YES	NO
	O														

## OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER

N. Abramson

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8/25/03

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(REV. 7-80)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

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(Use several sheets if necessary)



ATTY. DOCKET NO.: 56351.000009	SERIAL NO.: 09/524,253
INVENTOR'S NAME: Joseph G. GATTO	EXAMINER: to be assigned
FILING DATE: 3/13/00	GROUP: 2768

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB-CLASS	FILIN G DATE
N.J.		5	7	6	1	4	4	2	6/2/98	Barr et al.			
N.J.		5	8	1	9	2	7	1	10/6/98	Mahoney et al.			
N.J.		5	8	6	4	8	7	1	1/26/99	Kitain et al.			
N.J.		5	8	0	2	5	1	8	9/1/98	Karaev et al.			

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
													YES	NO

OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER N. Subramanian

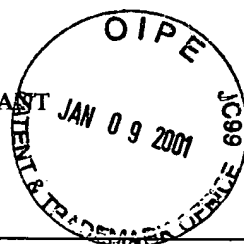
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PATENT AND TRADEMARK OFFICE

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ATTY. DOCKET  
NO.:  
56351.000009SERIAL NO.:  
09/524,253INVENTOR'S  
NAME:  
Joseph G. GATTOEXAMINER:  
to be assignedFILING DATE:  
3/13/00GROUP:  
2768

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLAS S	FILING DATE

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTR Y	CLAS S	SUB- CLAS S	TRANSLATION
					YES NO

## OTHER MATERIALS (Including Author, Title, Date, Pertinent Pages, Etc.)

NJ	International Search Report
↑	BROWN et al. Composite Analyst Earnings Forecasts: The Next Generation. Journal of Business Forecasting. Summer of 1990. Vol. 9 Issue 2.
	HO et al. Market Reactions to Messages From Brokerage Ratings Systems. Financial Analysts Journal. February 1998 Vol. 54, Issue 1.
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	<a href="http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm">http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm</a> (1/5/01)
	<a href="http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm">http://interactive.wsj.com/public/current/articles/SB963945742428637569.htm</a> (1/5/01)
	<a href="http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm">http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm</a> (1/5/01)
	<a href="http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm">http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm</a> (1/5/01)
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↓	Charles Schwab: Scwab Introduces Analytics Fund; Utilizes Quantitative Techniques to Seek Above-Market Returns
N-1	MOZES et al. Modeling Earnings Expectations Based on Clusters of Analyst Forecasts The Journal of Investing Spring 1999

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N. Subramaniam

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# Electronic Information Disclosure Statement

## SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

Application:



09/524253

Confirmation: 7026

Applicant(s): Joseph GATTO

Docket  
Number: 23449-009

Group Art  
Unit: 3624

Examiner: Charles R. Kyle

search string: ( 5006998 or 5132899 or 5502637 or 5675746 or 5749077 or 5918217 or 5948054 or 5950176 or 5956691 or 6012042 or 6012043 or 6021397 or 6064986 or 6119103 or 6125355 or 6154732 or 6236980 or 6253192 or 6317726 or 6370516 or 20020019791 or 20020022988 or 20020082966 ).pn.

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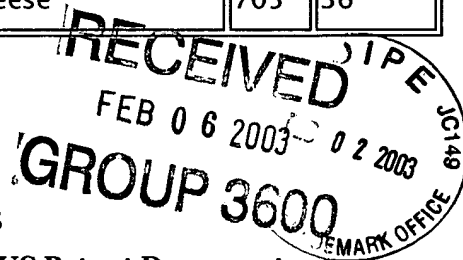
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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
NA	P01	5006998	1991-04-09		Yasunobu et al.	364	513
NA	P02	5132899	1992-07-21		Fox	364	408
	P03	5502637	1996-03-26		Beaulieu et al.	364	408
	P04	5675746	1997-10-07		Marshall	395	235
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N	P07	5948054	1999-09-07		Niezen	709	200
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	P10	6012042	2000-01-04		Black et al.	705	36
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## Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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N	U02	20020022988	2002-02-21		Columbus et al.	705	11
N	U03	20020082966	2002-06-27		O'Brien et al.	705	36

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Examiner Name	Date
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